



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Lawrence G. Roberts
APPLICATION NO.: 10/086,763
FILING DATE: February 27, 2002
TITLE: Micro-Flow Management
EXAMINER: Not yet known
GROUP ART UNIT: 2661
ATTY. DKT. NO.: 22134-06741

#2

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JUL 23 2002

Technology Center 2600

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: July 9, 2002

By:

Rajiv P. Patel, Reg. No. 39,327

COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this

certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☒ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. 09/552,278, filed on April 19, 2000, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
Lawrence G. Roberts

Dated: July 9, 2002

By: 

Rajiv P. Patel, Reg. No. 39,327
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7607
Fax: (650) 494-1417



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT***Complete if Known*

Application No.	10/086,763
Filing Date	February 27, 2002
First Named Inventor	Lawrence G. Roberts
Art Unit	2661
Examiner Name	Not yet known
Attorney Docket Number	22134-06741

Sheet

1

of

2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A	US-6,195,697	02/27/2001	Bowman-Amuah
	B	US-6,081,524	06/27/2000	Chase et al.
	C	US-6,081,522	06/27/2000	Hendel et al.
	D	US-6,072,797	06/06/2000	Fletcher
	E	US-6,006,264	12/21/1999	Colby et al.
	F	US-5,995,503	11/30/1999	Crawley et al.
	G	US-5,933,425	08/03/1999	Iwata
	H	US-5,917,821	06/29/1999	Gobuyan et al.
	I	US-5,909,440	06/01/1999	Ferguson et al.
	J	US-5,559,611	09/24/1996	Bloomfield et al.
	K	US-5,467,343	11/14/1995	Lee et al.
	L	US-5,436,866	07/25/1995	McGill
	M	US-5,267,232	11/30/1993	Katsube et al.

RECEIVED**JUL 23 2002****Technology Center 2600****FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

22134/06741/DOCS/1281017.1



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A (10-01)
Approved for use through 10/31/2002. OMB 0851-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO			Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			Application No.	10/086,763
			Filing Date	February 27, 2002
			First Named Inventor	Lawrence G. Roberts
			Art Unit	2661
			Examiner Name	Not yet known
			Attorney Docket Number	22134-06741
Sheet	2	of	JUL 23 2002	

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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		T ²
	N	http://164.195.100.11/netacg/nph... WKU.&OS=PN/5701291&RS=PN/5701291; (U.S. Patent 5, 701,291)		
	O	"NetFlow Services and Applications"; <u>White Paper</u> ; Public Copyright © 1999 Cisco Systems, Inc.; pgs. 1-27.		
	P	"PLURIS®"; <u>Scalable to the Core</u> ; Teraplex™ 20 – Product Overview; pgs. 1 - 9 .		
	Q	Tag Switching; Cisco IOS Technologies; http://www.cisco.com/warp/public/cc/cisco/mkt/ios/tao/index.shtml ; Cisco Systems; 4/5/00; pgs1 – 4.		
	R	Cisco – NetFlow Services and Applications; Netflow Services and Applications; http://www.cisco.com/warp/public/732/netflow/ ; 4/5/00 pgs. 1 –3.		
	S	FlowCollector Overview; http://www.cisco.com/univercd/cc/ft/gmt/nfc/nfc_3_0/nfc_ug/nfcover.htm ; 4/5/00 pgs. 1 –8.		
	T	"White Paper – The Need for QoS"; Stardust.com, Inc.; QoSforum.com; A White Paper; 7/1999; pgs. 1 –14.		
	U	"Requirments for Traffic Engineeing Over MPLS"; http://www.ietf.org/rfc/rfc2702.txt ; 4/16/00; pgs. 1 – 26.		
	V	"Specification of Quaranteed Quality of Service"; http://www.ietf.org/rfc/rfc2212.txt?number=2212 ; 4/18/00; pgs 1- 18.		
	W	"Resource ReSerVation Protocol (RSVP) – Version 1 Functional Specification; http://www.ietf.org/rfc/rfc2205.txt?number=2205 ; 4/16/00; pgs. 1 – 97.		
	X	"An Architecture for Differentiated Services"; http://www.ietf.org/rfc/rfc2475.txt?number=2475 ; 4/16/00; pgs. 1 – 32.		
	Y	"Definition of the Differentiated Services Field (DS Field) in the Ipv4 and Ipv6 Headers"; http://www.ietf.org/rfc/rfc2474.txt?number=2474 ; 4/18/00; pgs. 1 – 18.		
	Z	"Quality of Service Protocols Use a Variety of Complementary Mechanisms to Enable Deterministic End-to-End Data Delivery," QoS Protocols & Architectures, QoS Forum White Paper, Stardust.com, Inc., Pages 1-25, July 8, 1999.		

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

22134/06741/DOCS/I281017.1



2661

+

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	10/086,763
			Filing Date	February 27, 2002
			First Named Inventor	Lawrence G. Roberts
			Group Art Unit Number	2661
			Examiner Name	Not yet known
Total Number of Pages in This Submission		8	Attorney Docket Number	22134-06741

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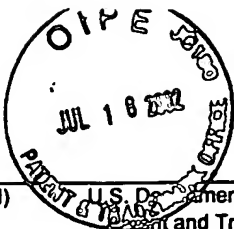
ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) []
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/>
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/>
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/>
<input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Status Request	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/>

REMARKS:

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Rajiv P. Patel, Reg. No. 39,327	Dated:	July 9, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Rajiv P. Patel	Dated:	July 9, 2002
Express Mail Mailing Number (optional):			

22134/06741/DOCS/1280991.1

PTO/SB/17 (10-01)(modified)
OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)
Rev. 10/2001

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$)**0.00**

Complete If Known

Application Number	10/086,763
Filing Date	February 27, 2002
First Named Inventor	Lawrence G. Roberts
Group Art Unit	2661
Examiner Name	Not yet known
Attorney Docket Number	22134-06741

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †
- ☐ Applicant claims small entity status See 37 CFR 1.27

Deposit Account Number: 18-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☐ Payment Enclosed:☐ Check ☐ Credit Card ☐ Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$85	Surcharge - late filing fee or oath	<input type="text"/>
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>
147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>
115/\$110	215/\$55	Extension for response within first month	<input type="text"/>
116/\$400	216/\$200	Extension for response within second month	<input type="text"/>
117/\$920	217/\$460	Extension for response within third month	<input type="text"/>
118/\$1,440	218/\$720	Extension for response within fourth month†	<input type="text"/>
128/\$1,980	228/\$980	Extension for response within fifth month†	<input type="text"/>
119/\$320	219/\$160	Notice of Appeal	<input type="text"/>
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	<input type="text"/>
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	<input type="text"/>
143/\$480	243/\$230	Design Issue Fee	<input type="text"/>
122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>
126/\$180	126/\$180	Submission of Information Disclosure Statement	<input type="text"/>
179/\$740	279/\$370	Request for Continued Examination (RCE)	<input type="text"/>
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>
Other fee (specify):		<input type="text"/>	<input type="text"/>
Other fee (specify):		<input type="text"/>	<input type="text"/>
SUBTOTAL (3)			(\$) 0.00

FEE CALCULATION (fees effective 10/01/2001)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$740	201/\$370	Utility Filing	<input type="text"/>
106/\$330	206/\$165	Design Filing	<input type="text"/>
108/\$740	208/\$370	Reissue	<input type="text"/>
114/\$180	214/\$80	Provisional Filing	<input type="text"/>
SUBTOTAL (1)			(\$) 0.00

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$84	202/\$42	Independent claims in excess of 3
104/\$280	204/\$140	Multiple dependent claim
109/\$84	209/\$42	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

(Col. 1)		(Col. 2)	(Col. 3)	Fee	Fee Due
For	No. of Existing Claims	Highest No. Previously Paid For	Extra**		
TOTAL		20 or 0		x	
INDEP		3 or 0		x	
[] First presentation of multiple dependent claim					

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$)**0.00**

SUBMITTED BY

Typed or Printed Name **Rajiv P. Patel**

Signature

Complete (if applicable)

Reg. Number **39,327**Date **July 9, 2002**

22134/06741/DOCS/J280992.1

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby